



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2164
#7
BT
6-23-03

In Re the Application of:

LaFore, et al.

Serial No.: 09/853,986

Filed: May 11, 2001

Atty. File No.: 7103-1-CIP

For: "DATA PROCESSING SYSTEM
AND METHOD FOR MANAGING
BROKER TRANSACTION
INFORMATION"

) Group Art Unit: 2164

) Examiner:

) INFORMATION DISCLOSURE STATEMENT

<p style="text-align: center;">CERTIFICATE OF MAILING</p> <p>I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450 ON <u>6/13/03</u>.</p> <p style="text-align: center;">SHERIDAN ROSS P.C.</p> <p>BY: <u>Christine Jacquet</u></p>

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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Dear Sir:

Pursuant to Applicant's duty of disclosure under 37 CFR § 1.56 and 37 CFR §§ 1.97-1.98, Applicant hereby provides a copy of each of the documents identified on the enclosed PTO Form 1449. Applicants do not admit that any of such documents, alone or in any combination, are considered to be material to patentability as defined in 37 CFR § 1.56(b). Moreover, the inclusion of these documents is not to be construed as an admission by Applicant that each such document is prior art as to the above-identified patent application.

Respectfully submitted,

SHERIDAN ROSS P.C.

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SHEET 1 OF 1

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
7103-1-CIPSERIAL NO.
09/853,986INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)APPLICANT
David W. LaFore, et al.FILING DATE
May 11, 2001GROUP ART
2164

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROP.
	AA	5,497,317	3/5/96	Hawkins et al.	364	408	12/28/93
	AB	5,502,637	3/26/96	Beaulieu et al.	364	408	6/15/94
	AC						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	AD							
	AE							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.